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Application Number	09/672,116
Filing Date	SEPTEMBER 27, 2000
First Named Inventor	JIVENDRA K. KALE
Art Unit	3624
Examiner Name	COLBERT, ELLA
Attorney Docket Number	

ENCLOSURES (Check all that apply)

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Firm Name			
Signature	<i>Jivendra K. Kale</i>		
Printed name	JIVENDRA K. KALE		
Date	SEPTEMBER 15, 2005	Reg. No.	

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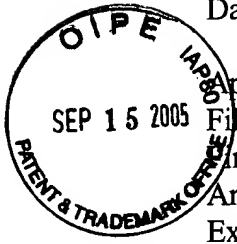
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1, FW 3624

List of Items Enclosed
Date: September 15, 2005



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First Named Inventor: Jivendra K. Kale
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Examiner Name: Colbert, Ella

- ☐ (1) Form PTO/SB/21
- ☐ (2) Form PTO/SB/82 – 3 forms
- ☐ (3) Form PTO/SB/96
- ☐ (4) Amendment/Reply
- ☐ (5) “Modern Portfolio Theory and Investment Analysis,” by Edwin J. Elton and Martin J. Gruber, 5th. Edition, John Wiley & Sons, Inc., New York, 1995, page 234.
- ☐ (6) “Financial Theory and Corporate Policy,” by Thomas E. Copeland and J. Fred Weston, 3rd. Edition, Addison-Wesley Publishing Company, Reading, 1988, page 90.
- ☐ (7) “Convergence to Isoelastic Utility and Policy in Multiperiod Portfolio Choice,” by Nils H. Hakansson, Journal of Financial Economics, 1 (1974) 201-224.
- ☐ (8) “Portfolio Analysis,” by Jack Clark Francis and Stephen H. Archer, Prentice-Hall, Inc., Englewood Cliffs, 1971, page 208.
- ☐ (9) “Portfolio Selection,” by Harry Markowitz, Journal of Finance 7, No. 1, March 1952, 77-91. (Resubmitted)
- ☐ (10) “Growth Optimization for Downside Protection, A New Paradigm for Portfolio Selection,” by Jivendra K. Kale, St. Mary’s College of California, 2004.
- ☐ (11) “A Feasible Conjugate Direction Method to Solve Linearly Constrained Minimization Problems”, by Michael J. Best, Journal of Optimization Theory and Applications, Vol. 16, No. 1-2, pages 25-38, July 1975. (Resubmitted)